PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE (Atty. Docket No. 6119.00010)

In re Application of: Scott Johnston, et al)
· · · · · · · · · · · · · · · · · · ·) Group Art Unit: T/B/D
Serial No.: 10/676,318)
) Examiner: T/B/D
Filed: October 1, 2003)
) Confirmation No.
For: Order Risk Management System)
•)

INFORMATION DISCLOSURE STATEMENT

Mail Stop Non Fee Amendment Commissioner for Patents Alexandria VA 22313

Dear Sir:

Pursuant to 37 C.F.R. Section 1.97-1.98, Applicants wish to make the following references listed on the enclosed Form PTO/SB/08A of record in the above-identified application. This Information Disclosure Statement is in compliance with the continuing duty of candor as set forth in 37 C.F.R. Section 1.56. A copy of the reference cited is enclosed.

Applicants believe no fees are due. However, the Commissioner is authorized to charge any fees that may be due to our Deposit Account No. 19-0733.

Respectfully submitted,

BANNER & WITCOFF, LTD.

Dated: December 10, 2003 By:

Charles L. Miller

Reg. No. 43,805

DEC 1 0 2003 Under the Paperwork Reduction A

PTO/SB/21 (05-03) Approved for use through 04/30/2003. OMB 0651-0031

Form PTO/SB/08A (2 pages)

1 Cited Reference

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

are required to respond to a collection of information unless it displays a valid OMB control number.

1995, no pen 10/676,318 **Application Number** TRANSMITTAL October 1, 2003 Filing Date FORM First Named Inventor Scott Johnston (to be used for all correspondence after initial filing) Art Unit T/B/D **Examiner Name** T/B/D Total Number of Pages in This Submission Attorney Docket Number 006119.00010 ENCLOSURES (check all that apply) Assignment Papers After Allowance Communication to Fee Transmittal Form (for an Application) Group Appeal Communication to Board of Drawing(s) Fee Attached Appeals and Interferences Appeal Communication to Group Amendment / Response Licensing-related Papers (Appeal Notice, Brief, Reply Brief) After Final Petition Proprietary Information Petition to Convert to a Affidavits/declaration(s) Status Letter Provisional Application Power of Attorney, Revocation Other Enclosure(s) Extension of Time Request Change of Correspondence Address (please identify below):

Postcard Receipt Information Disclosure Statement CD, Number of CD(s) Certified Copy of Priority Remarks Document(s) The Commissioner is hereby authorized to charge any fees due to Deposit Response to Missing Parts/ Account Number 19-0733. Incomplete Application Response to Missing Parts under 37 CFR 1.52 or 1.53 SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT Firm Charles L. Miller Individual name Signature

Request for Refund

Express Abandonment Request

December 10, 2003

Date

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450. Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name Signature Date

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/21 (05-03)

Approved for use through 04/30/2003. OMB 051-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

		:7/						
52(5) () ()	10001535	<u>a</u>	RALE	Applic	cation Number	10/676	,318	
*	RANSMITTAL		Filing	Date	Octobe	r 1, 2003		
FORM		First I	Named Inventor	Scott Je	ohnston			
(to be used for all co	rrespondence	after ir	nitial filing)	Art U	nit	T/B/D		
			Exam	iner Name	T/B/D			
Total Number of Page	s in This Subr	mission		Attorn	ey Docket Number	006119	0.00010	
			ENCLO	SURES	(check all that apply)			
Fee Transmittal F	Form			ment Pa		After Grou	r Allowance Communication to)
☐ Fee Attached	1		☐ Drawin	g(s)			eal Communication to Board o eals and Interferences	f
Amendment / Re	sponse		Licensi	ng-relate	ed Papers		eal Communication to Group eal Notice, Brief, Reply Brief)	
After Final			Petition	1			rietary Information	
Affidavits/dec	claration(s)			to Conv		☐ Statu	us Letter	
Extension of Time	e Request				ey, Revocation espondence Address		er Enclosure(s) se identify below):	
Express Abandonment Request		al Discla		F 1	Form PTO/SB/08A (2 pages) Cited Reference Postcard Receipt			
		mber of	CD(s)		ostcard Receipt			
Certified Copy of Document(s)	Priority		Remar			<u>,</u>		
Response to Missing Parts/ Incomplete Application The Co		The Comm Account N	issione umber 1	r is hereby authorized 9-0733.	I to charge	any fees due to Deposit		
Response to Parts under 3 1.52 or 1.53								
	s	IGNA	TURE OF A	PPLIC	ANT, ATTORNEY, C	OR AGENT		
Firm <i>or</i> Individual name	Charles L. M			Ī				
Signature	signature Clarify 1 mm							
Date	Date December 10, 2003							
		<u> </u>	CER	TIFICA	TE OF MAILING	<u> </u>		=
I hereby certify that the Service with sufficier Alexandria, VA 22313	it postage as	first c	lass mail in	mile trai	nsmitted to the USPTC elope addressed to: C	or deposite	ed with the United States Posi er for Patents, P.O. Box 145	tal i0,
Typed or printed name	e							
Signature						Date		

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08a (05-03)

Approved for use through 04/30/2003. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

DEC 1 0 2003

INFORMATION DISCLOSURE, STATEMENT BY APPLICANT

 Application Number
 10/676,318

 Filing Date
 October 1, 2003

 First Named Inventor
 Scott Johnston, et al

 Art Unit
 T/B/D

 Examiner Name
 T/B/D

 Attorney Docket Number
 006119.00010

(use as many sheets as necessary)

Sheet 1 of 2

			U.S. PATENT	OCUMENTS	
Examiner Initials *	Cite No.1	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		US-6,016,483	01/18/2000	Rickard, et al	
		US- 6,195,647	02/27/2001	Martyn, et al	
		US- 6,263,321	07/17/2001	Daughtery, III	
		US- 6,282,521	08/28/2001	Howorka	
		US- 6,317,727	11/13/2001	May	
		US- 6,360,210	03/19/2002	Wallman	
		US- 6,421,653	07/16/2002	May	
		US-			•
		US-			

	FOREIGN PATENT DOCUMENTS							
Examiner	Cite	Foreign Patent Document	Publication	Name of Patentee or	Pages, Columns, Lines, Where Relevant			
Initials*	No. ¹	Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)	Date MM-DD-YYYY	Applicant of Cited Document	Passages or Relevant Figures Appear	T ⁶		
-								
·								
	<u> </u>							
	<u> </u>							

	Examiner Signature		Date Considered	
--	-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant: 1 Applicant's unique citation designation number (optional). 2 See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08b(05-03)

Approved for use through 04/30/2003. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction ACC pg 1995 vid persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449A/PTO Complete if Known **Application Number** 10/676,318 INFORMATION DISCLOSURE Filing Date October 1, 2003 STATEMENT BY APPLICANT **First Named Inventor** Scott Johnston, et al T/B/D Group Art Unit (use as many sheets as necessary) T/B/D **Examiner Name** of 2 Attorney Docket Number 006119.00010 Sheet

		OTHER PRIOR ART NON PATENT LITERATURE DOCUMENTS	
Examiner Initials *	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
		Introduction to the International Securities Exchange, International Securities Exchange, pp. 1-12, 1999	
	,		
·			-
			<u> </u>
			
Examiner		Date	

Examiner	Date	
Signature	Considered	

^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



CERTIFICATE OF MAILING BY EXPRESS MAIL

(Attorney Docket No.6119.00010)

Express Mail No EV306394556US

son actually depositing)

Deposited: December 10, 2003

I hereby certify that the attached correspondence, identified below, is being deposited with the United States

Postal Service as "Express Mail Post Office to Addressee" under 37 CFR > 1.10 on the date indicated above and is
addressed to the Asst. Commissioner for Patents, Mail Stop Non-Fee Amendment, PO Box 1450, Alexandria, VA
22313-1450.

Serial No.: 10/676,318

Title: Order Risk Management System

In the Application of: Scott Johnston, et al

X Form PTO/SB/21 (in duplicate)

X Information Disclosure Statement

X Form PCT/SB/08A (2 pages)

X Cited Reference

X Postcard

Attorney Docket No.: 6119.00010